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MEMORANDUM FOR THE RECORD

Event: Interview with Major John Daniel Caine, USAF, Supervisor of Flying at 121st Squadron, 113th Wing, Andrews Air Force Base on September 11, 2001

(U) Type of Event: Recorded interview via VTC, Major Caine is currently at Davis-Monthan AFB, Arizona

(U) Date: March 8, 2004

(FOUO) Special Access Issues: None

(U) Prepared by Miles Kara

(U) Team number: 8

(U) Location: Pentagon, Room 3C1061

(FOUO) Participants Non-Commission: Lt Col Amy Altimus, Counsel, (participated at Arizona end)

(FOUO) Participants – Commission: Miles Kara, Dana Hyde

DECLASSIFIED UNDER AUTHORITY OF THE
INTERAGENCY SECURITY CLASSIFICATION APPEALS PANEL,
E.O. 13526, SECTION 5.3(b)(3)

ISCAP APPEAL NO. 2012-042, document no. 15
DECLASSIFICATION DATE: September 29, 2014

Background.

(FOUO) Major Caine entered the Air National Guard in February 1992 with duty station, Syracuse, NY. He was trained as an F-16 pilot and served in that capacity until July 1998. He joined the DC Air National Guard in Summer of 1999 after training at fighter warfare school. In late 2001 he participated in Operation Enduring Freedom and in Spring 2002 was reassigned to Davis-Monthan AFB.

(FOUO) Caine commented that because of his Syracuse experience he had visited the Northeast Air Defense Sector (NEADS), knew how their floor operated, and knew that they had to be contacted on 9-11. He tried but was not successful in doing so. He is not aware if either General Wherley or Lt Col Thompson, Caine's replacement as Supervisor of Flying, was successful in reaching NEADS. He was told of the calls by Colonel Brooks to NEADS from the Air National Guard Command Post but was unaware of them.

(FOUO) He believed that he recorded in his cockpit at least a part of his initial 4+ hour sortie. If so, Major McNulty, the unit Intel officer would have the tape in his vault. He cautioned that more than one person used the call sign "Wild One" during the day on 9-11.

(FOUO) Caine did not remember being interviewed by Dr. Gross as part of the DoD history project. He implicitly acknowledged that if his recall today was different than what was in the interview then the interview prevailed.

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~~SECRET~~**Major Points: (Classified Information is in Red)****(U) 9-11**

(FOUO) On 9-11 he was providing an orientation to a new officer, Major Valentine, and the Intel NCO came into the scheduling office and said that an airplane had just hit the World Trade Center. The Squadron had a flight of three, Bully, down on the Dare County range in North Carolina, about 200 miles away. His initial concern was the safety of those jets. He didn't think much of it at first, "yeah, right, whatever" and that it wouldn't impact them much. He saw the second airplane hit while watching CNN. He instantly knew that this was obviously an attack and he went back to the operations desk knowing that there would be some impact on the air traffic control system in the Washington DC area.

(S) Previously, he had developed a relationship with the Secret Service and the field office that managed the movement of senior level officials out of Andrews. He had gotten to know "those guys" and asked if there were any plans they had that he needed to know about. Personally, he knew Special Agent Beauchamp. It is not the Presidential movement unit that controls the movement of other VIPs or senior government officials.

(FOUO) His primary concern was the air traffic issue of recovering the Bully flight from North Carolina. He talked to the tower and they had no situational awareness that helped him. He thought that all the calls into the tower were recorded and that his call would be part of the evidence available through tower records. He recalled that every time he called "up there" there was a beep on the line. Andrews tower, he said, would not have been in the loop for any Secret Service orders to scramble aircraft. In his Gross interview he had stated that the Tower told him that they just received the scramble order. On reflection, Caine thought that it might have been that information from Tower that prompted him to call Ken Beauchamp.

(FOUO) About 0930-0940, he called Agent Beauchamp because he thought he would have situational awareness. He did not receive from Beauchamp nor did Caine have any situational awareness on a plane approaching Washington DC. He told the weapons loaders at about 0945 to start unloading the weapons on the other side of the base. At some point in this time frame he learned of the Pentagon impact from the news, no other source. The result was that the intensity level increased even more.

(FOUO) At the operations desk at that point they had an initiative to generate aircraft, they were trying to recover planes from North Carolina with no situational awareness, and they had lines to the Secret Service Joint Operations Center (JOC), although the JOC had not yet called the desk. They were not, at this point, talking to Washington Tower, nor had he talked to NEADS. He was not aware that Langley fighters had been scrambled. He reiterated that Andrews was not a First Air Force or CONR asset. He knew that Otis and Langley were the only two "steady state" alert facilities available on 9-11. He recalled a one-minute to 30-second phone call to NEADS. The call, he characterized, was inconsequential. He thought NEADS was overwhelmed, based on talking to one enlisted person at NEADS. He does not recall the timing of his call to NEADS. The NEADS issue is not a radar problem it is a comms problem. At the time he could not talk to NEADS over Washington DC on UHF radio while in a CAP (lower altitude).

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(FOUO) The Air National Guard operations center is down the road and they had their own line to NEADS. Colonel Mark Daugherty of the ANG was in 113th space that morning and Caine thought he went down to ANG HQ to activate their crisis action operations. He was not personally aware that Col Brooks had twice called NEADS.

(U) ROE

(FOUO) The Secret Service is not a launch authority, Caine said. He validated General Wherley's statement that the phones were busy and that he handed one of the phones--he thought the Secret Service Joint Operations Center call--to Wherley. Wherley arrived at the operations desk at about the time they were generating planes and the missiles were being uncrated. He is not sure how the JOC got their phone number. Beauchamp, in the earlier call, said he would call back, but did not. He speculated that the JOC got the number from Beauchamp. He didn't doubt that it was Beauchamp, according to the Gross interview, who said that Andrews had to get fighters in the air. Caine thought, but would not swear to it, that he heard the Vice President's voice in the background. He did remember asking what the JOC was and then said, here's my boss [General Wherley].

(FOUO) Caine and Lt Col Marc Sasseville [CAPS 1 flight lead] knew coming out of their pre-flight brief that they lacked ROE and that they needed them. General Wherley gave them succinct rules that he had gotten from somewhere. [Note: General Wherley recalled briefing Sasseville, but not Caine. Sasseville does not remember getting ROE until later, while in the air.] General Wherley got the ROE from one of two entities, Caine speculated, the Secret Service or NEADS. He knew that General Wherley did not make them up. Based on a question about Staff interview with General Wherley, Caine agreed that the ROE likely came through the Secret Service.

(8) He recalled the ROE to be: if an aircraft was identified as hijacked then the ROE was "weapons free" within the National Command Authority (NCA) region. It was clear to him that they were to stop any hijacked airplanes from coming into the NCA—to him the NCA was the Mall, centered on the White House. There was no mention that he recalled that the ROE came from the Vice President. All four of the pilots were standing at the door by the SOF area when the ROE was given. Intercepts were run to visually identify tracks of interest and to, as much as they could, determine intent. His understanding was that they would identify—they would not shoot at something beyond visual range. He recalled, ultimately, the "8 miles" was "out there" as a no-closer-than distance. Beyond visual range (BVR), "weapons free" was in his Gross interview. He emphasized that no one, that day, was going to shoot at something beyond visual range, without identification. The criteria were that aircraft had to be on a flight plan, following ATC direction, squawking, and following standard air procedures. A characterization or determination of "hostile" was not spelled out in the criteria. Under "weapons free" the determination of "hostile" was the onus of the guy/gal in the cockpit. There was also the understanding the air traffic controllers would declare the target to be suspect. Hostility had to be determined by the person in the cockpit.

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(FOUO) He was not concerned about a friendly fire incident but was concerned about a mid-air collision if both an Andrews fighter and a Langley fighter vectored on the same target. His concern was to deconflict the air space and to establish CAP procedures.

(FOUO) Sasseville was initially the CAP commander, but he did not have weapons on board, so once Caine got airborne with missiles he assumed the responsibility so that Sasseville could land and arm.

(FOUO) Caine thought he first saw the Langley fighters on the radar at 15,000 feet, higher than he was. He got them on guard frequency as a common link to begin with. He ran VHF control with National Approach and UHF for communications with the F-15s which did not have a VHF radio.

(FOUO) Ultimately, they set up a high/low CAP configuration. Washington National was established as the "bullseye." The desire was a high CAP over national, a low CAP to the southwest and additional CAPS to the north and the southeast.

(FOUO) Caine did not have IFF, interrogation friend or foe. So when he ran an intercept his procedure was to take a Langley fighter with him that had that capability.

(FOUO) His situational awareness was that the Langley and Andrews fighters had different ROE. He was not surprised that there were different ROE triggers in different parts of the country. The JCS fax, that afternoon, was what he recalled and brought with him to the interview as the ROE in effect that afternoon.

(FOUO) He did not use a fighter as a relay for operational reasons. His preference was that relay be done by an E-3, which eventually occurred.

(FOUO) After Action Brief

(FOUO) His immediate after action briefing was given to a "bunch of general officers", ultimately the Air Force XO. We need to get an electronic copy to get the timing tags. He built the brief and got his information from 84th RADES—he thought the slides were from that organization. His briefing shows that 0909 was the time of the Andrews telecom with Secret Service. He is not certain how he got that time. He recommended we get the time tag from Andrews Tower. Given the universe of NEADS, CONR and NORAD he thought that he got his underlying data from NEADS, but didn't recall specifically. He was fairly certain it was not First Air Force.

(FOUO) He had a phone list from the 12th that had the name associated with the Secret Service.

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